

12-20-01

A

Express Mail Mailing Label No. EL653444501US

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. BSC-010C2  
First Named Inventor Crowley  
Title Miniature Spectrometer

1050 U.S. PTO  
10/022965

## APPLICATION ELEMENTS

ADDRESS TO: **Box Patent Application**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

1. ☒ Fee Transmittal Form
2. ☐ Small Entity Status  
☐ Applicant claims small entity status  
☐ Status established in prior application and is still proper and desired
3. ☒ Specification and Drawings [Total Pages 27]  
- Written Description - (15 pages)  
- Claims - (6 pages)  
- Abstract - (1 page)  
- Sheets of Drawings - (5 sheets)  
☐ Formal  
☒ Informal
4. ☒ Oath or Declaration [Total Pages 4]  
a. ☐ Newly executed (original)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
5. ☒ Incorporation by Reference (usable if Box 4b is checked)  
The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☒ Application Data Sheet
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
☐ Computer Readable Copy  
☐ Paper Copy (identical to computer copy)  
☐ CD (identical to computer copy)  
☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449  
☐ Copies of IDS Citations
11. ☒ Preliminary Amendment (Total 13 pgs.)  
☐ Formal Drawings [Total Sheets]
12. ☒ Return Receipt Postcard
13. ☐ Certified Copy of Priority Document(s)
14. ☐ Deletion of Inventor(s)  
Signed statement attached deleting inventor(s) named in the prior application.
15. ☐ CD in duplicate for large table or computer program.
16. ☒ Other:  
☒ Copy of Associate Power of Attorney (including Limited Recognition) in prior applications 08/898,604 and 09/478,774 (3 pgs.)  
☒ Amendment to Drawings (2 pages plus 10 sheets)

17. ☒ If a **CONTINUING APPLICATION**, amend the specification by inserting on page 1, before the first line, the sentence: --  
This is a ☒ continuation ☐ divisional ☐ continuation-in-part of prior application Serial No. **09/478,774** filed on **January 6, 2000**, which is a continuation of prior application Serial No. **08/898,604** filed on **July 22, 1997**, now U.S. Patent **6,119,031**, the entire disclosure of which is incorporated by reference herein.--**Priority to the above application(s) is claimed under 35 U.S.C. 120.**

18. ☒ Priority - 35 U.S.C. 119

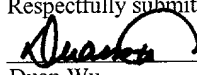
- ☒ Priority of application Serial No. **60/033,334** filed on **November 21, 1996** in the U.S. is claimed under 35 U.S.C. 119.  
☐ The certified copy has been filed in prior U.S. application Serial No. \_\_\_\_/\_\_\_\_ on \_\_\_\_.  
☐ The certified copy will follow.

## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
Testa, Hurwitz & Thibeault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
Fax No.: (617) 248-7100

## SIGNATURE BLOCK

Date: December 13, 2001  
Reg. No. (Limited Recognition)  
Tel. No.: (617) 248-7808  
Fax No.: (617) 248-7100

Respectfully submitted,  
  
Duan Wu  
Attorney for Applicant  
Testa, Hurwitz & Thibeault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110

2201304

# **FEE TRANSMITTAL** **FY 2002**

Complete if Known

Application Serial Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Crowley
Group Art Unit	3737
Examiner Name	R. Smith
Attorney Docket No.	BSC-010C2

**METHOD OF PAYMENT**

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.  
☐ Required Fees (copy of this sheet enclosed).  
☒ Additional fee required under 37 CFR 1.16 and 1.17.  
☒ Overpayment Credit.  
3. ☐ Applicant claims small entity status.

**FEE CALCULATION****1. FILING FEE**

Large Entity Fee (\$)	Fee Description	Fee Paid
740	Utility filing fee	740.00
330	Design filing fee	
160	Provisional filing fee	

	Number Filed	Number Extra	Rate	Amount
Total Claims	20	- 20 = 0	x \$ 18.00 =	0.00
Independent Claims	1	- 3 = 0	x \$ 84.00 =	0.00

☐ Multiple Dependent Claim(s), if any \$280.00 =

TOTAL:  
SMALL ENTITY DISCOUNT:

**SUBTOTAL (1)** (\$) 740.00

**2. AMENDMENT CLAIM FEES**

Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
Total	-	=	x \$ 18.00 =	
Indep.	-	=	x \$ 84.00 =	
<input type="checkbox"/> First Presentation of Multiple Dep. Claim			+ \$280.00 =	

TOTAL: (\$)   
SMALL ENTITY DISCOUNT: (\$)   
**SUBTOTAL (2)** (\$) 0.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	Request for ex parte reexamination	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1440	720	Extension for reply within fourth month	
1960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
130	130	Petitions to the Commissioner	
180	180	Submission of Information Disclosure Statement	
740	370	Filing a submission after final rejection (37 CFR 1.129(a))	
740	370	For each additional invention to be examined (37 CFR 1.129(b))	
100	100	Certificate of Correction for applicant's error	

Other fee (Specify)

Other fee (Specify)

**SUBTOTAL (3)** (\$) 0.00

**SUBTOTAL (1)** 740.00

**SUBTOTAL (2)** 0.00

**SUBTOTAL (3)** 0.00

**TOTAL** (\$) 740.00

**CORRESPONDENCE ADDRESS**

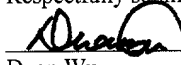
Direct all correspondence to:

Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower-125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
Fax No.: (617) 248-7100

**SIGNATURE BLOCK**

Respectfully submitted,

Date: December 13 2001  
Reg. No.: (Limited Recognition)  
Tel. No.: (617) 248-7808  
Fax No.: (617) 248-7100

  
Duan Wu  
Attorney for the Applicants  
Testa, Hurwitz & Thibault, LLP  
High Street Tower-125 High Street  
Boston, MA 02110